

## 4.11 AUDIT TRAIL

### Introduction

The Audit Trail screens allow you to:

- View changes made to an item record for a specified ID
- View changes made to item records for multiple IDs during a specified time period (i.e., 1/1/98 - 2/1/98)
- View changes made to control information for a specified ID
- View changes made to control information for multiple IDs during a specified time period (i.e., changes made between 1/10/98 and 1/17/98)

There are 2 types of audit trails: Item and Control. The Item audit trail tracks changes made to data in the survey item file. The Control audit trail tracks changes made to control information in the survey control files (Master, Stat period, and Survey-specific).

Each time a change is made to either the item or control files, a record of the change is added to the item/control audit trail.

For each type of audit trail (item and control), there are 2 audit trail screens: Audit by ID and Audit by Date. The Audit by ID screens allow you to access the audit trail for a specific ID. The Audit by Date screen allows you to access the audit trail for multiple IDs for a specified time period. The Audit Trail screens are read-only.

## Accessing the Screen

- ! Click on the REVIEW AND CORRECTION button from the StEPS Main Menu.
- ! From the Review and Correction Main Menu, choose a selection set to process. (See Chapter 4.1 for more information on accessing and creating selection sets.)
- ! Select the GOTO pmenu option.
- ! Select the “Item Data” option to access the Item Audit Trail; select the “Control” option to access the Control Information Audit Trail.
- ! Select “Audit by ID” to access the audit trail for a specific ID; select “Audit by Date” to access the audit trail for a specified time period.

**NOTE: YOU MAY ALSO ACCESS THE AUDIT TRAIL SCREENS FROM ANY OF THE OTHER REVIEW AND CORRECTION SCREENS BY USING THE GOTO PMENU OPTION.**

## Screen Features

Each of the 4 audit trail screens contains a Header. The following fields are common to each:

### **SURVEY**

- ! Displays default survey currently being processed.
  - ! Field not correctable.
  - ! To change the survey, you must access the Survey Selection screen from USER SETUP (See Chapter 1.1).
  - ! Click on the survey field to display the survey name.
- 

### **STAT PERIOD**

- ! Displays default stat period currently being processed.
- ! Field not correctable.
- ! To change the stat period, you must access the Survey Selection screen from USER SETUP (See Chapter 1.1).

## SELSET

- ! Displays the filename of the selection set currently being processed. (See Chapter 4.1 for more information regarding selection sets.)
- ! Click on the SELSET field to display a description of the selection set.
- ! Field not correctable.
- ! To access a different selection set or create a new one, return to the Review and Correction Main Menu.

### 4.11.1 ITEM AUDIT BY ID

The Item Audit by ID screen allows you to view item changes for a specified ID. You may choose to view all stat period changes or only those for the current stat period.

Item Audit Trail by ID - 2,10

Utilities GoTo HELP Exit

Disclosure Prohibited-Title 13 U.S. Code Date: 11AUG99

AUDIT BY ID Survey: MA33A Stat Period: 1998A1 SELSET: SELSET1

ID: 0000011111

Display Options  
Current stat period  
All stat periods

	ID	ITEM	STATP	OLDVAL	NEWVAL	OLDF	NEWF	USRNME	PRGNME	PRGDTM
40	0000011111	10351	1998A1	.	1435		A	farra001	additems.additem	09AUG99:
41	0000011111	10351	1998A1	1435	14573	A	A	farra001	COMMON.ONEITEMU	09AUG99:
42	0000011111	10353	1998A1	.	1565		A	farra001	additems.additem	09AUG99:
43	0000011111	1035	1998A1	.	2000		A	farra001	additems.additem	09AUG99:

Click the right mouse button while on the data to see available options.

Figure 4.11.4 Item Audit by ID

! Select an ID to review by:

1. Keying an ID in the ID field and pressing <ENTER>.
2. Clicking on the arrow in the ID field to bring up an ID pick list of all IDs in the selection set.

! ID and NAME1 will be displayed in the pick list in ascending ID order.

! The vertical scroll bar on the right side of the pick list will allow you to scroll through IDs in the selection set.

! Choose an ID by clicking on it with the mouse.

! Perform searches to find a particular ID by clicking on the FIND button. You will be prompted to enter a string (partial ID). Click on "OK". The ID pick list will display, beginning with the 1<sup>st</sup> occurrence of the ID matching the string entered.

! Select the "Current stat period" option to display item data changes for the current stat period only.

! Select the "All stat periods" option to display item data changes for all stat periods.

! Fields displayed in the Item Audit by ID screen include the following:

SURVEY	Survey name
STATP	Statistical period
ID	Case ID
ITEM	Item code/mnemonic
OLDFLAG	Data flag before change
NEWFLAG	Data flag after change
OLDVAL	Value of item before change
NEWVAL	Value of item after change
USRNME	Name of user who made the change
PRGNME	Name of program to update the value
PRGDTM	Date/time the update took place

! The sort for the data display is: Item by Stat Period by Date.

! Click on the right mouse button to access additional options for the screen:

1. Select the "Where" option to access the StEPS Standard Where Clause screen to further limit the output displayed.
2. Select the "Print" option to print the table.

! You can adjust the column width by positioning the cursor on the column heading cell and dragging the column outward or inward.

### 4.11.2 ITEM AUDIT BY DATE

The Item Audit by Date screen allows you to view item changes for a specified time period for multiple IDs. You may choose to view all stat period changes or only those for the current stat period.

	ID	ITEM	STATP	OLDVAL	NEWVAL	OLDF	NEWF	USRNME	PRGNME	PRGDTM
40	0000011111	10351	1998A1	.	1435		A	farra001	additems.additem	09AUG99:10
41	0000011111	10351	1998A1	1435	14573	A	A	farra001	COMMON.ONEITEMU	09AUG99:14
42	0000011111	10353	1998A1	.	1565		A	farra001	additems.additem	09AUG99:10
43	0000011111	1035	1998A1	.	2000		A	farra001	additems.additem	09AUG99:10

Figure 4.11.2 Item Audit by Date

- ! Enter a beginning date in YYMMDD format. (i.e., March 1, 1997 - 970301)
- ! Enter an ending date in YYMMDD format (i.e., March 7, 1997 - 970307)
- ! To display the audit trail for a specific date, enter the same date in both the beginning and ending date fields.
- ! The sort for the data display is: ID by Item by Stat Period by Date
- ! The remaining screen options and display features are identical to that of the Item Audit by ID screen. See Section 4.11.1.

### 4.11.3 CONTROL AUDIT BY ID

The Control Audit by ID screen allows you to view changes made to control information for a specified ID. You may choose to view all stat period changes or only those for the current stat period.

	STATP	ID	VARNAME	FILE	TYPE	OLDVAL	NEWVAL	FORMAT	USRNAME	PRGNAME
10	1998A1	0000011111	COLTEC	C1	C		N		abdal001	BUSTATUS.ADD
15	1998A1	0000011111	COVCD	C1	C		39		abdal001	BUSTATUS.ADD
20	1998A1	0000011111	EFDTE	C1	D		990708		abdal001	BUSTATUS.ADD
24	1998A1	0000011111	EFSTAT	C1	C		1995A1		abdal001	BUSTATUS.ADD
29	1998A1	0000011111	FORM	C1	C		MA33A		abdal001	BUSTATUS.ADD
37	1998A1	0000011111	SOURCE	C1	C		9		abdal001	BUSTATUS.ADD
771	1998A1	0000011111	CTITLE	CT	C		D		farra001	CTREVIEW.ADDL

Figure 4.11.3 Control Audit by ID

! Select an ID to review by:

1. Keying an ID in the ID field and pressing <ENTER>.
2. Clicking on the arrow in the ID field to bring up an ID pick list of all IDs in the selection set.

! ID and NAME1 will be displayed in the pick list in ascending ID order.

! The vertical scroll bar on the right side of the pick list will allow you to scroll through IDs in the selection set.

- ! Choose an ID by clicking on it with the mouse.
- ! Perform searches to find a particular ID by clicking on the FIND button. You will be prompted to enter a string (partial ID). Click on “OK”. The ID pick list will display, beginning with the 1<sup>st</sup> occurrence of the ID matching the string entered.
- ! Select the “Current stat period” option to display control information changes for the current stat period only.
- ! Select the “All stat periods” option to display control information changes for all stat periods.
- ! Fields displayed in the Control Audit by ID screen include the following:

SURVEY	Survey name
STATP	Statistical period
ID	Case ID
VARNME	Control variable name
FILE	Indicates the file in which the control variable is located (CT - Master Control, C1 - Stat Period Control, C2 - Survey Specific Control)
TYPE	Indicates the type of value stored for the variable (N - numeric, C - character, D - date)
OLDVAL	Value of variable before change
NEWVAL	Value of variable after change
FORMAT	Format used for numeric value or dates
USRNME	Name of user who made the change
PRGNME	Name of program to update the value
PRGDTM	Date/time the update took place

- ! The sort for the data display is: Varnme by Stat Period by Date.
- ! Click on the right mouse button to access additional options for the screen:
  1. Select the “Where” option to access the StEPS Standard Where Clause screen to further limit the output displayed.
  2. Select the “Print” option to print the table.
- ! You can adjust the column width by positioning the cursor on the column heading cell and dragging the column outward or inward.

#### 4.11.4 CONTROL AUDIT BY DATE

The Control Audit by Date screen allows you to view changes to control information for a specified time period for multiple IDs. You may choose to view all stat period changes or only those for the current stat period.

Control Audit Trail by Date - 2.11

Utilities GoTo HELP Exit

Disclosure Prohibited-Title 13 U.S. Code Date: 11AUG99

AUDIT BY DATE Survey: MA33A Stat Period: 1998A1 SELSET: SELSET1

Enter BEGIN date in YYMMDD format: 900101

Enter END date in YYMMDD format: 990811

Display Options

- Current Stat Period
- All stat periods

	STATP	ID	VARNAME	FILE	TYPE	OLDVAL	NEWVAL	FORMAT	USRNAME	PRGNAME
54	1998A1	0000022222	COVCD	C1	C		39		abdal001	BUSTATUS.ADD
59	1998A1	0000022222	EFDTE	C1	D		990708		abdal001	BUSTATUS.ADD
63	1998A1	0000022222	EFSTAT	C1	C		1995A1		abdal001	BUSTATUS.ADD
68	1998A1	0000022222	FORM	C1	C		MA33A		abdal001	BUSTATUS.ADD
76	1998A1	0000022222	SOURCE	C1	C		9		abdal001	BUSTATUS.ADD
88	1998A1	0000033333	COLTEC	C1	C		I		abdal001	BUSTATUS.ADD
93	1998A1	0000033333	COVCD	C1	C		39		abdal001	BUSTATUS.ADD
98	1998A1	0000033333	EFDTE	C1	D		990708		abdal001	BUSTATUS.ADD
102	1998A1	0000033333	EFSTAT	C1	C		1995A1		abdal001	BUSTATUS.ADD
107	1998A1	0000033333	FORM	C1	C		MA33A		abdal001	BUSTATUS.ADD
115	1998A1	0000033333	SOURCE	C1	C		9		abdal001	BUSTATUS.ADD
127	1998A1	0000044444	COLTEC	C1	C		I		abdal001	BUSTATUS.ADD
132	1998A1	0000044444	COVCD	C1	C		39		abdal001	BUSTATUS.ADD
137	1998A1	0000044444	EFDTE	C1	D		990707		abdal001	BUSTATUS.ADD
141	1998A1	0000044444	EFSTAT	C1	C		1995A1		abdal001	BUSTATUS.ADD
146	1998A1	0000044444	FORM	C1	C		MA33A		abdal001	BUSTATUS.ADD
154	1998A1	0000044444	SOURCE	C1	C		9		abdal001	BUSTATUS.ADD
166	1998A1	0000055555	COLTEC	C1	C		I		abdal001	BUSTATUS.ADD
171	1998A1	0000055555	COVCD	C1	C		39		abdal001	BUSTATUS.ADD
176	1998A1	0000055555	EFDTE	C1	D		990707		abdal001	BUSTATUS.ADD
180	1998A1	0000055555	EFSTAT	C1	C		1995A1		abdal001	BUSTATUS.ADD
185	1998A1	0000055555	FORM	C1	C		MA33A		abdal001	BUSTATUS.ADD
193	1998A1	0000055555	SOURCE	C1	C		9		abdal001	BUSTATUS.ADD

Click the right mouse button while on the data to see available options.

Figure 4.11.4 Control Audit by Date

- ! Enter a beginning date in YYMMDD format. (i.e., March 1, 1997 - 970301)
- ! Enter an ending date in YYMMDD format (i.e., March 7, 1997 - 970307)
- ! To display the audit trail for a specific date, enter the same date in both the beginning and ending date fields.
- ! The sort for the data display is: ID by Varname by Stat Period by Date
- ! The remaining screen options and display features are identical to that of the Control Audit by ID screen. See Section 4.11.3.



## P-Menus

P-Menu	Options	Function
UTILITIES	Next ID (F5) <sup>1</sup> Previous ID (F4) <sup>2</sup> Next page (PgDwn) Previous page (PgUp) Print	Access next ID in selection set Access previous ID in selection set Access next screen of data Access previous screen of data Print Audit Trail screen <sup>3</sup>
GOTO	Control Data ➤ Control Information Collection History Mail Group Status Changes Audit Trail ➤ Control Audit by ID Control Audit by Date  Item Data ➤ ID by Item ID by Item2 ID Matrix Historical Data Audit Trail ➤ Item Audit by ID Item Audit by Date  Respondent Text  Notes	Access Control Information screen for selected ID Access Collection History screen for selected ID Access Mail Group screen Access Status Changes screen for selected ID Access Control Audit by ID screen for selected ID Access Control Audit by Date screen  Access ID by Item screen for selected ID Access ID by Item2 screen Access ID Matrix screen for selected ID Access Historical Data screen for selected ID Access Item Audit by ID screen for selected ID Access Item Audit by Date screen  Access Respondent Text screen for selected ID  Access Notes screen for this ID
HELP	Audit Trail Help (F1)  Function Keys  WhoamI (F7)	Display HELP information on using the Audit Trail screen  Display list of function keys and corresponding descriptions Display user default and systems information
EXIT	StEPS Main Menu (Home) Exit (F3)	Return to StEPS Main Menu Exit to previous screen

<sup>1</sup> Option available on Audit by ID screens only.

<sup>2</sup> Option available on Audit by ID screens only.

<sup>3</sup> Selecting the 'print' option will access the SAS Output window. Click on the 'File' pmenu and select the 'Print' option. The SAS Print screen will display. Click on the 'Print' button. Close the SAS Output window.